



Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 4

PTO/SB/06A (10-07)

Approved for use through 10/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known

Application Number	10/633,937
Filing Date	08/04/2003
First Named Inventor	Jack J. Johnson
Art Unit	3628
Examiner Name	BORISSOV, IGOR N.
Attorney Docket Number	33472/1

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	1	US- 6,598,029	07/22/2003	Johnson, et al.	
	2	US- 6,202,051	03/13/2001	Woolston	
	3	US- 6,167,386	12/26/2000	Brown	
	4	US- 6,141,653	10/31/2000	Conklin, et al.	
	5	US- 6,131,087	10/10/2000	Luke, et al.	
	6	US- 6,061,660	05/09/2000	Eggleston, et al.	
	7	US- 6,047,274	04/04/2000	Johnson, et al.	
	8	US- 6,014,643	01/11/2000	Minton	
	9	US- 6,009,154	12/28/1999	Ricken, et al.	
	10	US- 5,930,773	07/27/1999	Crooks, et al.	
	11	US- 5,920,847	07/06/1999	Kolling, et al.	
	12	US- 5,894,422	04/13/1999	Chasek	
	13	US- 5,862,325	01/19/1999	Reed, et al.	
	14	US- 5,794,212	08/11/1998	Mister, Jr.	
	15	US- 5,790,642	08/04/1998	Taylor, et al.	
	16	US- 5,748,104	05/05/1998	Argyroudis, et al.	
	17	US- 5,737,730	04/07/1998	Alvarenga, et al.	
	18	US- 5,627,759	05/06/1997	Bearden, et al.	
	19	US- 5,615,269	03/25/1997	Micall	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		Country Code ³ Number ¹ Kind Code ² (if known)			
	20	WO 01/75756 A1	10/11/2001	Geophonic Networks, Inc.	
	21	WO 98/38844	09/11/1998	Summit Telecom Systems, Inc.	

Examiner Signature	/Igor Borissov/	Date Considered	01/27/2009
--------------------	-----------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 806. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ² Applicant's unique citation designation number (optional). ³ See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ⁴ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁷ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet **2** of **4**

Complete if Known

Application Number **10/633,937**
Filing Date **08/04/2003**
First Named Inventor **Jack J. Johnson**
Art Unit **3628**
Examiner Name **BORISSOV, IGOR N.**
Attorney Docket Number **33472/1**

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	22	US- 5,606,602	02/25/1997	Johnson, et al.	
	23	US- 5,519,622	05/21/1996	Chasek	
	24	US- 5,508,913	04/16/1996	Yamamoto, et al.	
	25	US- 5,463,547	10/31/1995	Markowitz, et al.	
	26	US- 5,375,055	12/20/1994	Togher, et al.	
	27	US- 5,297,031	03/22/1994	Guterman, et al.	
	28	US- 5,237,507	08/17/1993	Chasek	
	29	US- 5,168,446	12/01/1992	Wiseman	
	30	US- 3,913,829	10/21/1975	Fink	
	31	US- Re. 35,793	05/12/1998	Halpern	
	32	US- 2004/0015428A2	01/22/2004	Johnson, et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	⁶

Examiner Signature **/Igor Borissov/** Date Considered **01/27/2009**

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for form 1449/PTO

Complete if Known

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3

of 4

Application Number 10/633,937

Filing Date 08/04/2003

First Named Inventor Jack J. Johnson

Art Unit 3628

Examiner Name BORISSOV, IGOR N.

Attorney Docket Number 33472/1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	33	Cramton, et al., "Auction Design for Standard Offer Service," Charles River Associates and Market Design, Inc, June 30, 1997 (date shown in header), 21 pages	
	34	Cramton, et al., "Rules for Standard Offer Service," Charles River Associates and Market Design, Inc, August 11, 1997 (date shown in header), 8 pages	
	35	Cramton, et al., "Auction Design for Standard Offer Service," Charles River Associates and Market Design, Inc, September 26, 1997 (date shown in header), 24 pages	
	36	Copy of PCT International Search Report in connection with International Publication No. WO 01/75756 A1 (2 sheets)	
	37	Copy of PCT International Preliminary Examination Report in connection with International Publication No. WO 01/75756 A1 (5 sheets)	
	38	Copy of PCT International Search Report in connection with International Publication No. WO 98/38844 (2 sheets)	
	39	Copy of PCT International Preliminary Examination Report in connection with International Publication No. WO 98/38844 (10 sheets)	
	40	Copy of Response to Requirement for Information filed on January 16, 2007, in connection with Application Serial No. 10/062,798, filed on January 31, 2002 (32 pages)	
	41	Robert W. Kolb, "Futures, Options & Swaps," Blackwell Publishers, Inc., Third Edition, published 1999.	
	42	Rozek, "Competitive Bidding in Electricity Markets: A Survey," The Energy Journal, 1989, Vol. 10, No. 4 (15 pages)	

Examiner Signature

/Igor Borissov/

Date Considered

01/27/2009

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. //I.B./

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/633,937
Filing Date	08/04/2003
First Named Inventor	Jack J. Johnson
Art Unit	3628
Examiner Name	BORISSOV, IGOR N.
Attorney Docket Number	33472/1

Sheet **4** of **4**

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	43	Schmerken, "Lights Out: What Killed Off the California Power Exchange?" Wall Street & Technology, April 1, 2001 (7 pages)	
	44	Sales, "CME vs. CBOT: Separate and Unequal," Wall Street & Technology, February 1, 2001 (5 pages)	
	45	Preist, "Commodity Trading Using an Agent-Based Iterated Double Auction," ACM, 1999 (9 pages)	
	46	Cory, "Expert Systems for Power Applications," IEE Review, April, 1988, pp. 147-149	
	47	Veall, "On Estimating the Effects of Peak Demand Pricing," Journal of Applied Econometrics, January, 1986, Vol. 1, pages 81-93	
	48	Engle, et al., "Modelling Peak Electricity Demand," Journal of Forecasting, 1992, Vol. 11, pages 241-251	
	49	Gribik, "Learning From California's QF Auction," Public Utilities Fortnightly, April 15, 1995 (5 pages)	
	50	Weber, "Individual Welfare Maximization in Electricity Markets Including Consumer and Full Transmission System Modeling," Ph.D. Thesis, University of Illinois at Urbana - Champaign, 1999 (154 pages)	
	51	Richter, Jr., et al., "Comprehensive Bidding Strategies With Genetic Programming/Finite State Automata," IEEE Transactions on Power Systems, Vol. 14, No. 4, November, 1999 (Copyright 1998), (8 pages)	
	52	Richter, Jr., et al., "Genetic Algorithm Evolution of Utility Bidding Strategies for the Competitive Marketplace," IEEE Transactions on Power Systems, Vol. 13, No. 1, February, 1997 (8 pages)	

Examiner Signature	/igor Borissov/	Date Considered	01/27/2009
---------------------------	-----------------	------------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. //I.B./